



# **STATE OF INDIANA**

## **Request for Proposals 11-8**

**INDIANA DEPARTMENT OF ADMINISTRATION**

**On Behalf Of**

## **The Division of Disability & Rehabilitation Services**

**Solicitation For:**

**Diagnostic and Evaluation Services**

**Response Due Date: September 10, 2010**

James Osborne, Senior Account Manager  
Indiana Department of Administration  
Procurement Division  
402 W. Washington St., Room W478  
Indianapolis, IN 46204

**RFP-11-8**  
**SECTION ONE**  
**GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES**

**1.1 INTRODUCTION**

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Family and Social Services Administration (FSSA), requires Diagnostic and Evaluation Services for the Division of Disability and Rehabilitative Services (DDRS). It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the IDOA website (<http://www.IN.gov/idoa/2354.htm>) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

**1.2 DEFINITIONS AND ABBREVIATIONS**

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

IAC                                The Indiana Administrative Code.

IC                                 The Indiana Code.

Full Time Equivalent (FTE)    The State defines FTE as a measurement of an employee's productivity on a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE.

Implementation                The successful implementation of Diagnostic and Evaluations Services at the Indiana Government Center as specified in the contract resulting from this RFP.

Installation                    The delivery and physical setup of products or services requested in this RFP.

Other Governmental Body    An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following:  
(1) The judicial branch.  
(2) The legislative branch.

	(3) A political subdivision (includes towns, cities, local governments, etc.) (4) A state educational institution (including charter schools)
Products	Tangible goods or manufactured items as specified in this RFP.
Proposal	An offer as defined in IC 5-22-2-17.
Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the Respondent who will be ultimately responsible for performance of the contract.
Services	Work to be performed as specified in this RFP.
State	The State of Indiana
State Agency	As defined in IC 4-13-1, “state agency” means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government.
Vendor	Any successful Respondent selected as a result of the procurement process to deliver the products or services requested by this RFP.

### 1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select a vendor that can satisfy the State’s need for Diagnostic and Evaluation Services. It is the intent of Family and Social Services Administration to contract with no more than one (1) vendor to conduct diagnostic and evaluation services on a statewide basis and provide quality Diagnostic and Evaluation Services for the Division of Disability and Rehabilitative Services.

### 1.4 SUMMARY SCOPE OF WORK

- A. Vendor shall provide diagnostic and evaluation services to Division of Disability and Rehabilitative Services for the Bureau of Developmental Disabilities Services (BDDS) and to Vocational Rehabilitation Services (VRS). Potentially the vendor could receive over 8000 referrals per year.
- B. A diagnostic and evaluative assessment will be used:
  - 1. To assist in the determination of eligibility;
  - 2. To assist in the development of appropriate service plans.

- C. Vendor will be reimbursed for services either through State contractual relationship (**this RFP**) or through the Medicaid Title XIX funding, as designated within the referral.

## 1.5 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP
Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal Evaluation Criteria	This sections discusses the evaluation criteria to be used to evaluate respondents' proposals
Attachment A	M/WBE Participation Plan Form
Attachment B	Sample Contract
Attachment C	Indiana Economic Impact Form

## 1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of **3:00 p.m. Eastern Time** on **August 17, 2010**. Questions/Inquiries may be submitted via fax (**317-232-7312**) or email [rfp@idoa.IN.gov](mailto:rfp@idoa.IN.gov) and must be received by Procurement Division by the time and date indicated above.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.23. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff member of FSSA/DDRS. Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for

proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

## 1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3:00 p.m. Eastern Time on September 10, 2010**. Each Respondent must submit **one original hard-copy** (marked "Original") and **one original CD-ROM (marked "Original")** and [6] (six) complete copies **on CD-ROM** of the proposal, including the Transmittal Letter and other related documentation as required in this RFP. The **original** CD-ROM will be considered the official response in evaluating responses for scoring and protest resolution. **The respondent's proposal response on this CD may be posted on the IDOA website, (<http://www.in.gov/idoa/2462.htm>) if recommended for selection.** Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

James Osborne  
Indiana Department of Administration  
Procurement Division  
402 West Washington Street, Room W478  
Indianapolis, IN 46204

### **If you hand-deliver solicitation responses:**

To facilitate weapons restrictions at Indiana Government Center North and Indiana Government Center South, as of **July 21, 2008**, the public must enter IGC buildings through a designated public entrance. The public entrance to Indiana Government Center South is located at 302 W. Washington St. (the eastern-most Washington St. entrance). This entrance will be equipped with metal detectors and screening devices monitored by Indiana State Police Capitol Police.

Passing through the public entrance may take some time. Please be sure to take this information into consideration if your company plans to submit a solicitation response in person.

**If you ship or mail solicitation responses:** United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

**All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.**

#### 1.8 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held at **1:00PM on August 12, 2010 in the Indiana Government Center South Building, Conference Room 18**. At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in writing, also is not binding on the State.

#### 1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format described in Section 1.6 and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered.

#### 1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

#### 1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

#### 1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

#### 1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required, will be discussed in the technical proposal.

#### 1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one Respondent to fulfill the requirements in this RFP.

The term of the contract shall be for a period of (2) years from the date of contract execution. There may be (2) one year renewals for a total of four (4) years at the State's option.

#### 1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the Transmittal Letter and on the outside of that envelope that confidential materials are included. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

#### 1.16 TAXES

Proposals should not include any tax from which the State is exempt.

#### 1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to [www.in.gov/idoa/2464.htm](http://www.in.gov/idoa/2464.htm).

#### 1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana  
Corporation Division  
402 West Washington Street, E018  
Indianapolis, IN 46204  
(317) 232-6576  
[www.in.gov/sos](http://www.in.gov/sos)



#### 1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to set off such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

#### 1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore a contract goal of 8% for Minority Business Enterprises and 8% for Woman Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5.

Failure to meet these requirements will affect the evaluation of your proposal.

#### 1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a MWBE Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at <http://www.in.gov/idoa/2352.htm>. If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

**Prime Contractors must ensure that the proposed subcontractors meet the following criteria:**

- Must be listed on the IDOA Directory of Certified Firms
  - Each firm may only serve as one classification – MBE or WBE
  - A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
  - Must serve a commercially useful function. The firm must serve a value-added purpose on the engagement.
  - Must provide goods or service only in the industry area for which it is certified as listed in the directory at <http://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract
  - National Corporate Diversity Plans are generally not acceptable

## **MINORITY & WOMEN’S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT**

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project and approximate date the subcontractor will perform work on this contract. The State will deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State’s M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women’s Business Enterprises Division at (317) 232-3061 or [mwbe@idoa.in.gov](mailto:mwbe@idoa.in.gov).

### **1.22 AMERICANS WITH DISABILITIES ACT**

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

### **1.23 SUMMARY OF MILESTONES**

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team’s findings.

***Key RFP Dates:***

<b>Activity</b>	<b>Date</b>
Issue of RFP	August 6, 2010
Pre-Proposal Conference	August 12, 2010
Deadline to Submit Written Questions	August 17, 2010
Response to Written Questions/RFP Amendments	August 25, 2010
Submission of Proposals	September 10, 2010
<b><i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i></b>	
Proposal Evaluation	September 20, 2010
Proposal Discussions/Clarifications (if necessary)	September 24, 2010
Oral Presentations (if necessary)	September 29, 2010
Best and Final Offers (if necessary)	October 1, 2010
Contract Award	October 6, 2010

## SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

### 2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent's proposal.
- The Transmittal Letter must be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below.

### 2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

#### 2.2.1 Agreement with Requirement in listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

#### 2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 2.4 of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

#### 2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

#### 2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

#### 2.2.5 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

### 2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as "optional."

#### 2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

#### 2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

#### 2.3.3 Company Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company,

additional financial information should be provided for the entity/organization directly responding to this RFP.

#### 2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

#### 2.3.5 Contract Terms/Clauses

A sample contract that the state expects to execute with the successful Respondent(s) is provided in Attachment B. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are highly desirable. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment B.

In your Transmittal Letter please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause. If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract terms are as follows:

- Authority to Bind Contractor
- Duties of Contractor, Rate of Pay, and Term of Contract
- Compliance with Laws
- Drug-free Workplace Provision and Certification
- Funding Cancellation
- Indemnification

- Governing Laws
- Non-discrimination clause
- Payments
- Penalties/Interest/Attorney's Fees
- Non-collusion and Acceptance

Any or all portions of this RFP and any or all portions of the Respondents response may be incorporated as part of the final contract

#### 2.3.6 References

The Respondent must include a list of at least (3) [three] clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP.

Respondent should provide specific descriptors of the services provided to each client identified as a reference. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information.

#### 2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at <http://www.in.gov/idoa/2464.htm> .

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <http://www.in.gov/idoa/2464.htm>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email

notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder.

Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, [aredding@idoa.in.gov](mailto:aredding@idoa.in.gov), or you may reach her by phone at (317) 234-3542.

#### 2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

#### 2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.



The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women Owned Business under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women Business information.

## 2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

2.4.1. Vendor Requirements - Proposals must address how the vendor organization will meet each vendor requirement.

- a. Respondent must provide evidence of its capacity to observe the service standards for quality of services and product.
- b. Respondent must provide evidence of the availability of the assessment instruments, as listed under 2.4.3.
- c. Respondent will be required to demonstrate its ability to provide all of the following assessment components:
  1. Case Analysis
  2. Functional Assessment
  3. Developmental Assessment
  4. Psychological Evaluation
  5. General Medical Assessment
  6. Review of Psychological Collateral
  7. Residential
  8. Interpreter Services
  9. Psychological Evaluation Category I
  10. Psychological Evaluation Category II

11. Psychological Evaluation Category III

12. Psychological Evaluation Category IV

- d. Respondent must show evidence of the capacity to observe the timelines of assessment types, as authorized by the DDRS Staff.
- e. Respondent shall declare its interest and capacity to provide services statewide. It shall declare its business plan and location of any office(s). (A list of BDDS districts and VRS regions can be found on the FSSA website at <http://www.in.gov/fssa/ddrs/3447.html>.)
- f. Respondent must demonstrate experience and knowledge of current Developmental Disabilities Services and Vocational Rehabilitation Services. Vendor must be able to accurately communicate basic information to those individuals and families who are requesting or receiving developmental disabilities through the Bureau and/or employment services through VRS.
- g. Respondent must show evidence of its ability to comply with the Americans with Disabilities Act.
- h. Respondent must show evidence (i.e. resume, license) of each employee and/or contractor who are professionals within the areas of psychology, behavior management, human development, rehabilitation, special education and social work in order to appropriately and accurately assess individuals and assist in the determination of eligibility (including determination of level of care for ICF/MR services).
- i. Respondent must show evidence (i.e.: resume, educational transcript) that each employee/contractor (hired to assess the referred individuals) has completed the appropriate level of educational and professional competency in the specific discipline and is certified by the respective professional trade organization in order to perform the specific assessment component(s).
- j. Respondent must show evidence of its capacity to receive electronically referrals, collateral and person specific information from DDRS staff, so that the vendor will be compliant with Health Insurance Portability and Accountability Act (HIPAA).
- k. Respondent must show evidence of its ability to transmit electronically evaluations and assessments in a secure and timely manner to the designated DDRS staff so that the vendor will be compliant with the Health Insurance Portability and Accountability Act (HIPAA).
- l. Respondent must show evidence of being (or ability to be) approved as a recognized provider of Medicaid services.

- m. Respondent must show evidence of the ability to accommodate and provide interpreter services, as needed, for individuals who communicate in a non-English and/or Sign language.
- n. Respondent shall declare its capacity to provide testimony, based upon completed assessments/evaluations, at any appeal hearing in the event that an individual appeals a DDRS decision, if requested by DDRS staff.
- o. Respondent must demonstrate its ability to conduct assessments and evaluations within a face-to-face interview situation. The vendor's personnel will observe, interact and converse with the individual being assessed in a setting that is comfortable to the individual and conducive to the assessment's purpose. In addition, the personnel will interview the guardian or another person who best knows the individual being assessed.
- p. Respondent may not be a provider of residential habilitation and support services (residential services), vocational/habilitation services, behavioral support services, and/or case management services funded by state line item or Medicaid waiver services.

2.4.2. Vendor's Assessment Requirements - Authorization of the specific components will be made by DDRS Staff and used

- 1. To assist in the determination of eligibility for developmental disabilities services (including determination of level of care for ICF/MR services) and vocational rehabilitation services;
- 2. To assist in the development of appropriate service plans.

a. Detailed Referral Types and Timelines:

1. **Emergency Residential:** 5 working days

Funding: Medicaid or State

Descriptor: Authorized by BDDS Service Coordinator for an individual within an emergency situation, defined as a) the individual's health or safety is in jeopardy due to 1) loss or imminent loss of shelter or responsible caretaker; or 2) there is a danger of injury to self or others; or 3) there is reported abuse or neglect; b) the individual is being held on an in-patient unit or jail; or c) the individual has been placed in a setting under emergency placement procedures.

2. **Initial Residential:** 15 working days

Funding: Medicaid or State

Descriptor: Authorized by BDDS Service Coordinator primarily for an individual (eligible for Medicaid State Plan) who has been targeted for one of the Medicaid waivers (DD, Autism, Support Services) and/or seeking developmental disabilities services and may be appropriate for ICF/MR services.

**3. Update Residential: 15 working days**

Funding: Medicaid or State

Descriptor: Authorized by BDDS Service Coordinator for an individual who needs updated information for Level of Care determination or change of residency.

**4. Psychological Evaluation Categories: 15 working days**

Funding: Vocational Rehabilitation Services

Descriptor: Authorized by Vocational Rehabilitation Counselor for confirming mental/behavioral disabilities and reports which must include the vocational limitations imposed by any diagnosis

**5. Pre-Admission Screening (PAS) Level II: 4 working days**

Funding: Medicaid (OBRA)

Descriptor: Authorized by BDDS Service Coordinator for individual seeking placement in nursing facilities

**6. Resident Review – Significant Change: 4 working days**

Funding: Medicaid (OBRA)

Descriptor: Authorized by BDDS Service Coordinator for individual residing in nursing facility who has been identified by Nursing Facility, Medicaid Audit Team, BDDS staff

**7. Resident Review – Missed Level II: 15 working days**

Funding: Medicaid (OBRA)

Descriptor: Authorized by BDDS Service Coordinator for individual residing in nursing facility who should have had a Level II, but never referred and/or completed, by NF, Medicaid Audit Review or D&E Team/BDDS staff

**b. Detailed D & E Component Descriptions and Assessor Qualifications**

**1. Case Analysis**

To be used as means by which to accomplish the following functions:

- – to provide information in order for DDFS staff to determine eligibility for developmental disabilities services, to make recommendations for the needs of the individual, to determine appropriateness of services, such as possible admission into a group home, nursing facility, or receiving supported living services (for Emergency Residential and Initial Residential and Pre-Admission - Level II and Resident Review - Missed Level II), and/or
- - to provide information in order for DDFS staff to submit Level of Care packet for redeterminations or to provide updates of significant changes in the status of an individual for service planning while residing in group home or supported living situation, or nursing facility. (for Update Residential and Resident Review - Significant Change)

Both functions address clinical questions posed by the BDDS District staff. It also is used as a means by which to discuss the outcomes of the Functional Assessment/Developmental Assessment and/or Psychological Assessments administered and any discrepancies between the assessment(s) and the reported information as result of the interviews.

**Sub-Components:** Personal/Social Information; Family/Friends and Significant Others; Emotional/Psychiatric/Affective/Behavioral Information; Learning; Health-Medical Information; Discussion/Summary; Wants/Needs; Signatures; Appendix.

**Qualifications of assessor:** The assessment must be conducted and written by an assessor who has at least a bachelor's degree in a professional discipline (i.e. special education, human development, psychology, behavioral management or rehabilitation) and who has received training in clinical observation, interview skills and techniques for the appropriate assessment(s). Supervision must be provided to an assessor with a bachelor's degree by at least a master's level clinician.

## **2. Functional Assessment**

Functional Assessment reports the level at which the individual is functioning in developmental domains. This component includes the standard Functional Assessment [Developmental Disability Profile (DDP) or ICAP] as prescribed by BDDS for determination of eligibility.

**Qualifications of assessor:** The assessment must be conducted and written by a professional who has at least a bachelor's degree in a professional discipline (i.e. special education, human development, psychology, behavioral management or rehabilitation) and who has received training in clinical observation, interview and techniques for the appropriate assessment(s). Supervision must be provided to a bachelor's level assessor by a master's level clinician.

## **3. Developmental Assessment**

Developmental Assessment (DA) reports the level at which the individual is functioning in each developmental domain. This component includes a developmental assessment (such as a Vineland) and the above described Functional Assessment. The DA is used to determine functional limitations/handicaps for purposes of eligibility for services and appropriateness of services. It is a critical component for determination of eligibility for developmental disabilities services.

**Qualifications of assessor:** The assessment must be conducted and written by a professional who has at least a bachelor's degree in a professional discipline (i.e. special education, human development, psychology, behavioral management or rehabilitation) and who has received training in clinical observation, interview and techniques for the appropriate assessment(s). Supervision must be provided to a bachelor's level assessor by a master level clinician.

#### **4. Psychological Assessment**

The psychological assessment evaluates the individual's level of intellectual functioning and, as appropriate to the individual, academic achievement, interests and aptitudes, and learning styles. It must include a standardized individual intellectual test as well as another standardized assessment that investigates the presence of visual/motor, emotional, and/or personality factors that contribute to the individual's disability. The evaluation needs to address any clinical questions posed by the BDDS staff.

**Qualifications of assessor:** The evaluation must be performed by a psychologist licensed by the Indiana State Board of Examiners in Psychology and in compliance with state law and ethical standards of the profession, or by a clinician under the supervision of a psychologist licensed by the Indiana State Board of Examiners in Psychology, or by a licensed school psychologist.

#### **5. General Medical Assessment**

A general medical assessment provides an evaluation of the individual's health, physical status, and health maintenance and identification of high risk health needs. It also determines the need for additional special medical evaluations or a medical consultation. It may identify therapeutic or remedial activities which are contraindicated. For infants under three (3) years of age, the general medical assessment identifies whether the child is at risk for developmental disabilities. The general medical assessment is often used to complete the 450B Medicaid ICF/MR level of care form.

**Qualifications of assessor:** The general medical assessment is performed by a medical doctor or doctor of osteopathy licensed by the State of Indiana.

#### **6. Review of Psychological Collateral**

This component includes a psychologist's review of the existing psychological collateral received from school, vocational rehabilitation evaluations, etc. The review will provide substantiation or recommendations of the individual's current intellectual status as compared to the psychological collateral.

**Qualifications of assessor:** The evaluation must be performed by a psychologist licensed by the Indiana State Board of Examiners in Psychology and in compliance with state law and ethical standards of the profession, or by a clinician under the supervision of a psychologist licensed by the Indiana State Board of Examiners in Psychology, or by a licensed school psychologist.

#### **7. Residential**

This assessment is a combination of components of Case Analysis and Functional Assessment. This combination could be used for Pre-Admission Screening (PAS)–Level of Care determination for admission into a Nursing Facility and appropriate specialized services OR for service planning of DD services, OR for Level of Care eligibility determination for admission into an Intermediate Care Facility for the Mentally Retarded (Supervised Group Living homes or Home and Community Based Services waiver services) program.

**Qualifications of assessor:** Refer to the components listed within the specific components.

#### **8. Interpreter Reimbursement**

When a referred individual communicates in a language other than English (non-English and/or American Sign language), the D&E team must have the availability to arrange for the appropriate language interpreter to accompany and assist the assessor.

**Qualification of the Interpreter:** The interpreter of American Sign Language must possess an Indiana Interpreter Certification. The interpreter of any non-English language must be fluent in the language. The interpreter must be other than a family member of the referred individual.

#### **9. Psychological Evaluation Categories I, II, III, IV**

**Qualifications of evaluator:** The **Psychological Evaluation Categories** must be performed by a psychologist licensed by the Indiana State Board of Examiners in Psychology and in compliance with state law and ethical standards of the profession, or by a clinician under the supervision of a psychologist licensed by the Indiana State Board of Examiners in Psychology, or by a licensed school psychologist.

##### **a) Psychological Evaluation Category I:**

Purpose: To determine intellectual function and academic and social Skills, which includes: (1) clinical interview (primarily for history and assessment of social skills); (2) a standardized individual intelligence test (WAIS-R-4) (3) a standardized individual achievement test.

##### **b) Psychological Evaluation Category II:**

Purpose: to confirm the presence or absence of organic brain syndrome, which include appropriate tests to confirm the presence of a neuro-psychological dysfunction.

##### **c) Psychological Evaluation Category III:**

Purpose: to confirm the presence or absence of learning disability, which includes one (1) neuropsychological screening test.

If a learning disability exists, the results of the psychological evaluations from Category III or a combination of categories should address:

- 1) the learning disability diagnosis as stated in the most recent edition of the Diagnostic Statistical Manual of Mental Disorders (DSM IV) or World Health Organization (WHO) nomenclature;
- 2) how functions are impaired by the disorder;
- 3) how these deficits/impairments affect present and future employment potential;
- 4) what specific methods/modes of instruction/learning might be effective;

- 5) whether academic deficits are attributable to causes such as visual, hearing, or motor disability, mental retardation, emotional disturbance, or socioeconomic disadvantage;
- 6) whether additional diagnostic assessment techniques, such as neurological or neuropsychological examinations are warranted; and
- 7) whether the individual has developed specific techniques to compensate for functional deficits which may be helpful in the developmental of an individual approach to training and in defining the need for accommodations.

d) **Psychological Evaluation Category IV:**

Purpose: to confirm the presence or absence of a mental illness, emotional disturbance or character disorders which includes:

- 1) a clinical mental status interview to assess-
  - (a) orientation to time, place, person;
  - (b) memory (immediate, short-term, long-term)
  - (c) cognitive processes;
  - (d) perceptual distortions (hallucinations, delusions);
  - (e) disturbance of affect; and
  - (f) psychiatric history, including hospitalizations, medications, and prognosis; and
- 2) appropriate testing to determine diagnoses/limitations of mental illness.

2.4.3. List of required tests and measurements to be available for use by the vendor

1. AAMR Adaptive Behavior Scales-Residential and Community– Second edition
2. Bayley Scales of Infant Developmental – Second edition (1993)
3. Beck Depression Inventory
4. Bender Gestalt Test: Adults & Children
5. Brief Symptoms Inventory
6. Career Assessment Inventory
7. Category Test
8. Childhood Autism Rating Scale
9. Conners' Adult ADHD Rating Scales



10. Conners' Rating Scales – Revised for Children and Adolescents for attention deficit/hyperactivity disorder (ADHD) Rating
11. Comprehensive Trail Making
12. Continuous Performance Test
13. Developmental Disabilities Profile II (DDP II)
14. Developmental Test of Visual-Motor Integration (Beery DVMII)
15. DSM-IV Rating Scale
16. Hawaii Early Learning Profile (VORT Corporation) for children from birth to six year
17. Inventory for Client and Agency Planning (ICAP)
18. Kaufman Assessment Battery for Children (K-ABC) 2<sup>nd</sup> Edition
19. Millon Clinical Multiaxial Inventory III
20. Neurobehavioral Status Exam
21. Leiter International Performance Scale
22. Mental Status Exam (MSE)
23. Minnesota Multiphasic Personality Inventory (MMPI-2)
24. Peabody Individual Achievement Test-Revised (PIAT-R)
25. Peabody Picture Vocabulary Test-Revised (PPVT-R) III
26. Reading Free Interest Inventory
27. Reitan Trail Making A&B
28. Scales of Independent Behavior (SIB)
29. Slosson Intelligence Test-Revised
30. Stanford-Binet – 4<sup>th</sup> Edition
31. Supports Intensity Scale (SIS)

32. Strong-Campbell Interest Inventory
33. Substance Abuse Subtle Screening Inventory (SASSI) Sassi Institute
34. Thematic Apperception Test (TAT)
35. Test of Non-verbal Intelligence: A Language Free Measure of Cognitive Ability-Second Edition (TONI-3),
36. Vineland Adaptive Behavior Scales II
37. Vocational Preference Inventory
38. Wechsler Adult Intelligence Scale - 3<sup>rd</sup> Edition (1997)
39. Wechsler Intelligence Scale for Children-Fourth Edition (1991)
40. Wechsler Intelligence Scale for Children – Fourth Edition (Spanish version)
41. Wechsler Memory Scale (WMS-III)
42. Wechsler Primary and PreSchool Scale of Intelligence - Third Edition
43. Wechsler Individual Achievement Test- Second Edition
44. Woodcock-Johnson III
45. Wide Range Achievement Test (WRAT IV)

#### 2.4.4 Vendor Administrative Standards

##### a. General

1. Services are available for a minimum of 240 days per year;
2. One (1) copy of all materials generated for the Division related to the individual's referral is maintained in the vendor's file for a minimum of three (3) years (or according to requirements of discipline);
3. A record of all personnel having access to diagnostic records will be maintained. This record shall contain 1) person's name, 2) date of access, and 3) purpose of access;
4. A listing of the names and positions of vendor personnel who may have access to individuals' records is maintained;
5. Individual's information is released only to the authorizing agency personnel in DDRS/BDDS or VRS);
6. Required personnel information is obtained and maintained by the provider. This information will include, but is not limited to 1) citizenship date,

- 2) drug free environment data, 3) academic credentials, and 4) State and County criminal background check;
7. Vendor personnel are available in sufficient numbers and disciplines to meet referral demands;
8. An internal administrative review process is outlined to be implemented in order to address 1) component specification compliance, 2) timeline compliance, 3) contract utilization, and 4) clinical supervision of bachelor degreed personnel;
9. Vendor must have available electronic internet capacity to receive referrals from the DDRS staff and to deliver final product DDRS staff. The electronic capacity must conform to all electronic security measures and HIPAA guidelines in order to protect the identity and confidential information of each individual referred/assessed.

**b. Fiscal Specifications**

1. Vendor obtains DDRS staff authorization for all component work reimbursed by DDRS state funding and Title XIX (Medicaid) funding;
2. Vendor utilizes accounting practices which permit the tracking of reimbursement by funding stream for each authorized component completed for each individual;
3. Vendor submits a monthly contract utilization report to the contracting state agency (DDRS/BDDS and VRS).

**c. Evaluation Practice Specifications**

1. Evaluations are conducted by vendor personnel who are properly credentialed and trained in a face-to-face interview situation.
2. The vendor personnel will observe, interact and converse with the individual being assessed in a setting that is comfortable to the individual and conducive to the assessment's purpose. In addition, the personnel will interview with guardian or person who best knows the individual being assessed;
3. Evaluations are conducted only by vendor personnel in accordance with the component specifications;
4. The vendor personnel has access to an appropriate repertoire of testing instruments related to his/her area of specialization;
5. Evaluation materials utilized are validated by the specific purpose for which they are used;
6. The vendor personnel utilizes test instruments and assessment practices which are appropriate to the age, cultural background (including accommodations for non-English communication or Sign language) and disability of the individual;

7. The vendor personnel is able to prepare for assessing the individual, through review of case records from the state agency and/or the community agency serving the individual;
8. Report content is consistent with component specifications;
9. Evaluation findings include a response to all clinical questions;
10. Evaluation reports are professionally written, free from jargon, and recommendations and conclusions are based upon the findings from the interview, observations, collateral material and assessments;
11. Evaluation reports discuss the discrepancies between assessment results and observations, interview findings and other collateral information regarding the individual assessed;
12. Evaluation reports are free of typographical errors which affect the meaning of a statement.

d. Evaluation Scheduling and Timeline Specifications

1. A written procedure is established by the vendor for scheduling evaluations;
2. Scheduling procedures demonstrate methodologies for meeting timelines;
3. Scheduling procedures provide for tracking timelines and face-to-face contacts;
4. Vendor can identify the status of any referral at any time;
5. Vendor receives written permission to evaluate the individual from the individual, guardian or parent (if individual is a minor child);
6. Vendor has an internal timeliness monitoring process;
7. Requests for timeline extensions are approved in writing by the responsible DDRS staff;
8. Timeliness problems are formally addressed by the vendor and reported to responsible DDRS staff.
9. Timelines requirements are met for 95% of all referrals.

e. D&E Feedback Form

1. The D&E Feedback Form is developed by state agency and vendor.
2. The D&E Feedback Form is completed -
  - a) by the DDRS staff to register positive and instructive feedback to the vendor;
  - b) by the individual, guardian/advocate who participated in the assessment process and submitted to the vendor to formally document positive or instructive feedback.
3. Vendor takes appropriate corrective action, as needed, as result of Feedback Form, within a ten (10) day period;
4. Vendor returns a copy of the D&E Feedback form to the DDRS office with a report of the action taken, within the ten (10) day period;

5. Vendor maintains a file in its main office of all D&E Feedback forms received and actions taken.

f. Contract Monitoring

1. Vendor submits D&E Utilization Reports with monthly and year-to-date figures by the 10<sup>th</sup> of the following month;
2. D&E Utilization Reports will include
  - a. the number of referrals received from BDDS and from VRS;
  - b. the components authorized from BDDS and from VRS;
  - c. the number of individuals whose assessments have been completed;
  - d. the payment source for each referral;
  - e. the amount of each claim submitted; and
  - f. the state funding dollars remaining based upon the submitted claims.

g. Program and Fiscal Audits

1. Vendor will participate in a program audit, conducted by the Division of Disability and Rehabilitative Services, as needed;
2. Vendor will participate in a fiscal audit, conducted by the FSSA Audit Services, as scheduled;
3. Vendor will make available all documentation related to the D&E process as described within the contract and requested for the purpose of the audit.

## 2.5 COST PROPOSAL

Bids should be structured as a flat fee for each component service.

The applicant should provide data to support any fee schedule, reflecting the cost of doing business. The baseline contract amount will not exceed \$1,500,000 per year.

## 2.6 INDIANA ECONOMIC IMPACT

All companies desiring to do business with state agencies must complete an “Indiana Economic Impact” form (Attachment C). The collection and recognition of the information collected with the Indiana Economic Impact form places a strong emphasis on the economic impact a project will have on Indiana and its residents regardless of where a business is located. The collection of this information does not restrict any company or firm from doing business with the state.

## 2.7 BUY INDIANA INITIATIVE/INDIANA COMPANY

It is the Respondent’s responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to

<http://www.in.gov/idoa/2464.htm> and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.

Respondents that have not previously registered with IDOA must go to <http://www.in.gov/idoa/2464.htm> and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business' status. The registration process should be complete at the time of proposal submission.

### **Defining an Indiana Business:**

“Indiana business” refers to any of the following:

- (1) A business whose principal place of business is located in Indiana.
- (2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
- (3) A business that employs Indiana residents as a majority of its employees.

Respondents claiming this status must indicate which of the provisions above qualifies them as an Indiana business. They must also fully complete the Indiana Economic Impact Form (Attachment C) and include it with their response.

The following is the policy concerning items 4 & 5 described below. Appropriate documentation must be provided with your proposal response supporting either claim made below:

- (4) A business that makes significant capital investments in Indiana.
- (5) A business that has a substantial positive economic impact on Indiana.

### **Substantial Capital Investment:**

Any company that can demonstrate a minimum capital investment of \$5 million or more in plant and/or equipment or annual lease payments of \$2.5 million or more shall qualify as an Indiana business under category #4. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

### **Substantial Indiana Economic Impact:**

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under category #5. If a Respondent needs assistance in determining if its business qualifies under this criterion, please send an email inquiry to [buyindianainvest@idoa.in.gov](mailto:buyindianainvest@idoa.in.gov) and you will receive a response within forty-eight (48)

hours. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

## **SECTION THREE PROPOSAL EVALUATION**

### **3.1 PROPOSAL EVALUATION PROCEDURE**

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight may be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and FSSA/DDRS for further action, such as contract negotiations. If, however, IDOA and FSSA/DDRS decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

### **3.2 EVALUATION CRITERIA**

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 105). Negative points may be assigned in the cost score. Additionally, there is an opportunity for a bonus of five points if certain criteria are met.



For further information, please reference Section 3.2.3 below. If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

***Summary of Evaluation Criteria:***

<b>Criteria</b>	<b>Points</b>
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	<b>25 points</b>
3. Cost (Cost Proposal)	<b>-30 to +30 points (5 bonus points are available if certain criteria is met)</b>
4. Indiana Economic Impact	15
5. Buy Indiana	10
6. Minority (10) and Women Business (10) Subcontractor Commitment	20
<b>Total</b>	<b>100 (105 if bonus awarded)</b>

All proposals will be evaluated using the following approach.

**Step 1**

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

**Step 2**

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 55 points with a potential of 5 bonus points if certain criteria are met. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions focused on cost and other proposal elements.

### Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

#### 3.2.1 Adherence to Requirements – Pass/Fail

Respondents passing this category move to Phase 2 and proposal is evaluated for Management Assessment/Quality and Price.

#### 3.2.2 Management Assessment/Quality - **25** points

#### 3.2.3 Cost – **30** points available

Price will be measured against the State's baseline cost for this scope of work. The cost that the State is currently paying or its best estimate will constitute the baseline cost. Cost scoring points will be assigned as follows:

- Respondents who meet the State's current baseline cost will receive zero (0) cost points.
- Respondents who propose a decrease to the State's current costs will receive positive points at the same rate as bid increasing cost.
- Respondents who propose an increase to the State's current cost will receive negative points at the same rate as bid lowering cost.
- Respondents who propose a 10% decrease to the State's current baseline cost will receive all of the available cost points.
- If multiple Respondents decrease costs below 10% of the current baseline, an additional 5 points will be added to the Respondent proposing the lowest cost to the State.

#### 3.2.4 Indiana Economic Impact (15 points)

See Section 2.6 for additional information.

The total number of full time equivalent (FTE – please see Section 1.2 for a definition of FTE's) Indiana resident employees for the Respondent's proposal (prime contractor and subcontractors) will be used to evaluate the Respondent's Indiana Economic Impact. Points will be awarded based on a graduated scale. The Respondent with the most Indiana FTEs will be awarded 15 points. Points will then be awarded to the remaining Respondents proportionately.

3.2.5 Buy Indiana Initiative – 10 points

Respondents qualifying as an Indiana Company as defined in Section 2.7 will receive 10 points in this category.

3.2.6 Minority (10 points) & Women's Business (10 points) Subcontractor Commitment - (20 points).

The following formula will be used to determine points to be awarded:

The commitment factor for each proposal will be calculated by multiplying the commitment percentage by one hundred. The RFP score ratio will be determined by dividing the maximum allowable points by the highest commitment factor. The proposal with the highest commitment factor will be given the maximum allowable points. The points awarded to the other proposals will be calculated by multiplying the score ratio by the proposed commitment factor.

Commitment percentage \* 100 = commitment factor

Maximum allowable points/highest commitment factor = score ratio

Commitment factor \* score ratio = points awarded

The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.